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ABSTRACT

The handbook is designed for use when requesting State or Federal vocational education funds for projects concerning research and development, teacher education, education professional development, exemplary programs, dissemination-diffusion programs, vocational guidance, planning, data collection and utilization, evaluation, and curriculum development. It presents guidelines for the following areas: writing and submitting the prospectus, steps for designing a proposal, information on the procedures for review and funding, and requirements for project recipients. It also contains information necessary to meet the Kentucky Vocational Education and the U.S. Office of Education requirements in the writing of progress and final reports once the proposal is funded. Appended materials include sample cover pages, budget form, assignment of rights, agreement of evaluation and records maintenance, and agreement of nondiscrimination. (Author/EC)

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No. 7

Kentucky Research in Vocational Education Series

A Guide for the Development of Proposals, Progress, and Final Reports

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Kentucky Department of Education

BY WAY OF EXPLANATION

The Bureau of Vocational Education's *Guide for the Preparation of Proposals, Progress and Final Reports* is a handbook designed for use when requesting vocational education funds for projects concerning:

--Research and Development

--Teacher Education

--Education Professional Development

--Exemplary Programs

--Dissemination-Diffusion Programs

--Vocational Guidance

--Planning

--Data Collection and Utilization

--Evaluation

--Curriculum Development.

The *Guide* also contains the information necessary to meet Bureau and U.S. Office of Education requirements in the writing of progress and final reports once the proposal is funded.

The Bureau of Vocational Education reserves the right to make changes in the requirements of this *Guide* as needed. Due to the unique characteristics of some funding agencies it is usually desirable to contact the funding agency before submitting proposals. Updates of material presented in this *Guide* will be made available as part of

the *Kentucky Research in Vocational Education Series.* Questions about this *Guide* or subsequent updates should be addressed to:

Director
Resources Development Unit
Bureau of Vocational Education
Capital Plaza Tower
Frankfort, Kentucky 40601.

PART I

Introductory Material

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FOREWORD

Kentucky's vocational educators at all levels are responsible for the improvement and the enhancement of vocational-technical education programs. It is presumed that research and development efforts in the future will be directed toward local, regional, and state projects.

Therefore, vocational educators must be informed of the research and development possibilities in vocational and technical education and be given the technical and financial assistance needed to initiate research and development projects.

This *Guide* was designed to develop interest in this responsibility and to stimulate activities in the areas of research, development, and the dissemination-diffusion of innovations.

The *Guide* should be of interest and use to local educators, vocational education personnel, guidance counselors, school administrators, college and university educators, and staff members of the Bureau of Vocational Education.

Hopefully the *Guide* will help vocational educators at the state, regional, and local levels formulate and implement their ideas. Only through a relevant research and development effort can the goals of vocational education be achieved and result in meeting the needs of our ultimate consumer: the student.

This *Guide* is divided into eight major parts followed by five appendices. Each section is constructed in such a way as to give the reader a step-by-step approach to the development of a project proposal.

You will find that subsections are clearly noted in the upper right and left hand margin and should help you to track down appropriate information easily and quickly. It is suggested that you

read through this *Guide* at least once, including the Appendices, before beginning a project prospectus or proposal.

The Bureau of Vocational Education is most interested in any comments or ideas which you might have which will aid us in the continual updating of this book. Please feel free to suggest ways of producing a better *Guide* in the future.

Good luck and best wishes on a successful proposal and a valuable project!

OPPORTUNITIES FOR PROJECTS

The Bureau of Vocational Education annually establishes priority lists for research and development, exemplary and demonstration, training, and dissemination activities to be funded through the Bureau of Vocational Education. While these priority lists do not exclude the consideration of other topics, proposals not relating to the listed priorities must present a very strong and unique case in order to receive funding through the Bureau of Vocational Education. Supported projects must have the potential to benefit or influence a broad segment of vocational education rather than just a single institution and should reveal strong potential for increasing educational effectiveness and efficiency. To delineate these areas and provide the reader with a basis for determining the thrust of his/her efforts, the five project areas are presented with a general statement of definition and a set of example concerns and considerations.

Research and Development

A. Pure Research Projects. A scientific search for new knowledge directed toward expanding and improving the limits of knowledge relative to any aspect of vocational education.

B. Applied Research Projects. A scientific search for new knowledge directed toward solving existing problems confronting any aspect of vocational education.

C. Development Projects. A scientific process directed toward the output of products applicable to problem situations existing in vocational education.

D. Examples of research activities applicable to pure and applied research approaches:

Opportunities

1. Experimental. To predict outcomes by controlling and manipulating variables in a structured setting.

2. Survey. To associate variables with an established base of reference.

3. Investigation. To describe variables in a predetermined context, such as historical, status, or case studies.

E. Examples of Development Activities:

1. Design and implement education a[illegible] to meet specific instructional and training objecti[illegible]

2. Develop and test curriculum guidelines, plann[illegible]gies, and materials.

3. Devise methods of team teaching, flexible scheduling, and organize for improved guidance-teaching relationships.

Exemplary

A. Exemplary Projects. The intent of the exemplary program or project is to develop model programs, based upon research results, which stimulate new ways to create a bridge between school and earning a living for young people who are still in school, who have left school, or who are in programs of vocational preparation.

B. Examples of Exemplary Activities.

1. Development of a model program which familiarizes students with career opportunities.

2. Provide a program of occupational counseling and job placement for high school seniors.

3. Develop programs which exchange personnel between educational and business organizations.

Demonstration

A. Demonstration Projects. An educational setting designed to show the desirable strategies, methodologies, and/or products relevant to existing problem areas in vocational education.

B. Examples of Demonstration Activities:

1. Classroom Techniques. Group dynamics, gaming, questioning, and problem solving.

2. Teacher-Student Interaction. Counseling, sensitivity training, and self-analysis.

3. Instructional Media. Audio-visual instruction, educational television, and programmed text material.

Professional Improvement

A. Professional Improvement. A set of experiences structured to help vocational educators meet the objectives of vocational education.

B. Examples of Professional Improvement:

1. Professional Development. Conduct workshops on the development of performance objectives, interaction analysis, and organizing and using advisory councils.

2. Teaching techniques. Improve vocational instruction through using simulation, demonstrations, or the autodidactic approach.

3. Educational Processes. Provide preservice or inservice education in planning, supervision, or evaluation.

Dissemination-Diffusion

A. Dissemination-Diffusion Projects. A plan for the distribution and utilization of analyzed and synthesized research results and related information relevant to problems and concerns of target audiences in vocational education.

B. Examples of Dissemination Activities:

1. Sources of new instructional materials.

2. Employment of new instructional materials and innovative teaching approaches in vocational education.

3. Outcomes in the area of teacher development and professional growth as a result of research and development activities.

4. Conferences on administrative and supervisory techniques and procedures.

A maximum impact can result if proposals are based on new and imaginative ideas rather than on slight variations of existing programs or practices. It is hoped that a wide range of efforts will be undertaken to meet the needs of diverse groups and age levels in present and emerging occupational areas. The staff of the Bureau of Vocational Education is available to assist you in developing innovative plans and project prospecti.

WRITING AND SUBMITTING THE PROSPECTUS

The first step to take in the obtaining of a project grant is to put the problem or idea in writing. If one will write down the general problem, its rationale, the methods to be used for solving it, and the desired ends, one will have a more thorough understanding of the problem or idea. This is a purpose of the prospectus.

If the person having the idea plans to attack a problem or develop an idea with the assistance of Bureau of Vocational Education staff, the proposal developer should contact and consult with those individuals. After this consultation, the developer should consider developing a prospectus. A prospectus is a brief statement of the idea or problem and the general procedures to be followed in solving the problem. A prospectus is not required as part of the funding process, but the advantages of getting early feedback on a proposed project, before one goes through the procedure of developing a formal proposal, are numerous.

Upon completion of the prospectus, one (1) copy should be submitted to the Director of the Supporting Services Division who, in turn, will consult with the appropriate Unit Director to determine whether or not the prospectus is appropriate for Bureau authorization, other sources of funding, or modification for the development of a formal proposal.

The submitted prospectus should include:

1. the background or setting for the problem
2. the need for, and significance of, the study or project
3. a statement of the problem
4. generally, what procedures will be followed

5. the projected outcomes of the project

6. the estimated budget.

The prospectus cover page should be marked as "PROSPECTUS" and should include the applicant's full name, professional title, the organization with which the applicant is affiliated, the applicant's address, and telephone number.

The prospectus should be double-spaced and typewritten, and should not exceed six pages.

The development of the prospectus is intended to help the potential investigator present his problems or ideas in as clear manner as possible before spending valuable time on developing a formal proposal which may be inappropriate or ineligible for support. This procedure also allows the applicant to obtain some early input from Bureau staff members who might be able to offer valuable help. The suggestions of members of the Bureau should not be construed, however, as either denying the applicant the right to submit a formal proposal or as guaranteeing the approval of a proposal. The potential applicant can submit the prospectus at any time, but it should be submitted well in advance of the time he/she plans to submit a formal proposal.

THE PROPOSAL

A proposal is designed to serve three (3) major functions: a) serve as a blueprint to very specifically spell out the intended outcomes of the proposed project, b) describe in detail the procedures or techniques to be carried out to reach the intended outcome, and c) serve as a contract for the receipt and expenditure of funds. Therefore, the proposal is a very important document and justifies the expenditure of considerable time and effort to assure that it adequately covers these three (3) major functions.

All proposals must include the following sections:

A. Cover Page

The cover page is to be the first page of the proposal and includes information pertaining to title of project, applicant organization, project director, duration of project, funds requested, (Appendix A). In addition to containing the signatures of appropriate individuals representing the applicant organization, the cover page contains space for the appropriate signature of the funding agency upon approval of the project. This page then becomes a contract.

While a proposal with an unsigned cover page may be submitted to the Bureau of Vocational Education staff for informal comments, no proposal can be considered as a formal application without the appropriate signatures of the authorized personnel representing the applicant organization.

A sample proposal cover page is included in Appendix A. Nothing may precede this page. It contains only the following information in the order indicated and in the format shown in Appendix A:

Abstract

1. Title of Project
2. Applicant Organization
3. Initiated By
4. Project Director
5. Transmitted By
6. Duration of Project
7. Total Funds Requested
8. Date Transmitted
9. Approval.

Seven (7) copies of the proposal should be submitted, two of these having original signatures.

B. The Project Abstract

On a separate sheet, immediately following the Cover Page, a one-page single-spaced abstract of the project must be provided. The following information should be provided:

1. Title of Project
2. Project Director
3. Applicant Organization
4. Total Funds Requested
5. Beginning and Ending Dates
6. Objectives (state briefly the objectives of the project)
7. Procedures (give a brief description of the overall design or plan of the project)
8. Contribution to Education (indicate briefly how the proposed project will contribute to the improvement of the quality and

quantity of vocational education, its implications for developing new programs in the State, or for extending and expanding occupational education to persons not currently being served adequately).

C. Rationale for Proposal

The material to be included in this section of the proposal should be: the background of the problem; the statement of the problem; a review of the pertinent literature; and a statement as to what the contribution of this project will be to education.

Background

Describe the existing situation. This description should evolve into a statement of the problem area. Describe in this section the relationship of the broad problem area to vocational education and the need for the project.

Statement of the Problem

In this section state and delineate the problem toward which the project is directed. Narrow the problem statement down as much as possible to the specific group or topic to which you wish to focus the activities of the project. Relate the problem to the priorities for vocational education. The following questions may be helpful in evaluating the problem statement:

a. Is the problem of interest to the proposal developer?

b. Is the proposed project stated in the form of a problem to be solved or a question to be answered?

c. Does the project have value to the field of education, by application or implementation?

d. Is the problem stated clearly and unambiguously?

e. Is the proposed project of such a nature that a single problem can be isolated for study?

f. Is the problem subject to logical analysis?

g. Will the problem excite the interest of others in education?

h. Is the problem timely?

i. Is the problem in an area in which the project staff has considerable ability, education, and experience?

j. Is the difficulty of the project at the level of ability, education, and resources of the project staff?

k. Is the problem of appropriate scope in terms of the amount of time, funds, and personnel available?

l. Does the problem promise educational returns commensurate with the expenditures of time, money, and energy needed for its investigation?

m. Is the problem of such nature that needed cooperation can be secured?

n. Is the problem of such nature that information concerning the problem, relevant data, and conclusions can be communicated clearly to other educators and intelligent laymen?

Review of Literature

Present background information relevant to the problem, review results of pertinent research and development studies, and cite references and data which support the significance of the problem.

Contributions to Education

Describe the expected impact the project will have on education in general and specifically vocational education in Kentucky. State how the expected outcomes may be utilized elsewhere.

D. Objectives

The objectives of the project should be specific, measurable, concrete and achievable. The objectives should also be written so that only one major measurable item is included in each statement. The objectives should be listed in approximate order of importance and, to be successful, should reflect clarity and preciseness.

The objectives should be derived from the need, background, related research and problem statement for the proposed effort. The objectives are most important to the success of the project as they form the basis for what the writer presents in the procedures, evaluation and budget sections. The total proposal, then, must directly relate to the objectives.

Most importantly, the objectives must relate to the expected products or outcomes of the proposed project. In addition, most projects should have statements of objectives concerning the project instructional or operational processes and the project management processes.

E. Methodology and Design

This section of the proposal indicates what is to be done and how the proposed project is to be conducted. It provides information regarding the design or plan of the project, the setting in which the project will be conducted, the participants in the project, and the organizational and administrative arrangement for conducting the project.

Management

Describe the overall design or plan for the project in sufficient detail to demonstrate clearly that the design or plan is appropriate for attaining the objectives set forth in the preceding section. Justify the design or plan in terms of its appropriateness for attaining the objectives. Where appropriate, indicate options for alternative courses of action that may be employed if the need arises.

Describe the setting in which the project or plan will be conducted. Include such information as the communities, schools, or classes which will be used in conducting the project; and demographic characteristics which may be useful in assessing the appropriateness of the setting.

Describe the participants in the project in terms of their special or unique needs for the project. Also, explain fully the criteria for their selection. Indicate when the project will start and the sequence of steps to be taken to initiate and conduct the project. Show how the instruments you propose to use will measure effectively the characteristics they intend to measure.

In the design section, also include the data requirements. Specify the population to be involved in the project. If a sample is to be used, indicate the plan for drawing the sample, indicate the instrumentation to be used, methods to be employed in data collection and analysis, and procedures to be used in reporting the results of the project.

F. Project Management

It is essential that a proposal include information concerning the management of the project if it is funded. The three major components of project management are: 1) management plan, 2) time schedule, and 3) accounting system.

1. Management Plan

The management plan should reflect a knowledge of, and intention to use, educational project management techniques. This includes describing the organizational and administrative structure for conducting the project. Indicate the relationship between the proposed project staff and local administrators, supervisors, teachers, guidance counselors, community personnel, and advisory committees. Indicate the commitment of the local administrative unit; university, college, community college, technical institute, or local school unit, in conducting the project. Describe special cooperative arrangements with other agencies, institutions, or the business and industrial community. The Management Plans and the Evaluation Plan should indicate continued assessment of progress to assure project success.

2. Time Schedule

This section of the proposal should present a detailed time schedule for the completion of the assorted activities necessary for the successful execution of the project. One approach to the development of such a chart is to list all of the activities that will need to be conducted during the project. These activities may include the employment of staff, securing of equipment and test instruments, scheduling of consultants, conducting staff and advisory committee meetings, conducting interviews or giving tests, submission of quarterly progress and financial reports, scheduling and conducting workshops, conducting dissemination activities, submission of final reports, reallocation of staff, follow-up evaluation of the project as well as many other activities. Once all possible activities have been identified, these can be placed into chronological order and then placed into a form to

graphically depict the sequence and dates for all activities. This chart can be a very valuable management tool to the project director and project monitor to evaluate the progress of the project. Examples of simplified work flow charts are shown in Appendix B.

3. Accounting System

Projects submitted to the Bureau of Vocational Education for funding must have a detailed budget developed, using the format shown in Appendix C. As projects are funded upon this budget information and accounts are maintained by the Bureau of Vocational Education for the approved budget, it is essential that an appropriate system for maintaining the line-item accounts is developed and maintained by the project staff. The project proposal should adequately explain the procedures and techniques to be used in maintaining such an accounting system.

G. The Dissemination Plan

The results of a project are generally only as good as the plan presented to disseminate those results. Therefore a carefully developed dissemination plan, which disseminates the results and innovations which are the end product of a project, is very important.

In this section the writer should describe the plans for disseminating the results of the project which he plans in addition to traditional methods of dissemination such as the preparation of a final report or the preparation of articles for periodicals.

The proposal should list possible products which could be disseminated, the audiences for which these products are available, and the methods by which these target groups will be made aware of the project and its outcomes. Give particular attention to making

provisions for demonstration of the exemplary features of the project during the process of the project, and for seminars, conferences, and workshops to be conducted while the project is in progress and when the project has been completed.

H. The Evaluation Plan

This section of the proposal should present plans and strategies for evaluating the project in light of the stated objectives. It outlines the evidence which is to be submitted to demonstrate that the objectives have been attained, how the evidence is to be collected, the instrumentation and data collecting instruments to be used, and the proposed method of analyzing the data.

The project evaluation system should provide, where appropriate, for formative and summative evaluation.

The project evaluation system must relate directly to the statements of objectives concerning the project outcomes, instructional or operational processes and the management processes.

The project evaluation plan should reveal how the impact of the project will be measured. In situations where the impact of the project cannot be measured by the end of the project, the proposal writer should indicate what processes and resources will be needed to measure the impact of the project at a specified date following the termination of the project.

I. Personnel

List the names, titles, and a brief statement of the pertinent experience and unique qualifications of the personnel who will conduct the project, especially the project director. List the names and qualifications of consultants whenever possible. Indicate whether the key personnel and consultants have agreed to serve on the project and the percentage of time they are committed to the project.

Professional personnel should be identified in the proposal. Professional personnel should relate to those positions listed in the "Kentucky State Plan for the Administration of Vocational Education."

When personnel are to be employed who are unique to vocational education, the minimum qualifications and type of teaching certificate should be stated in the proposal.

J. Facilities and Equipment

The proposal should indicate any special facilities or equipment that will enhance the successful completion of the project.

This section should list the equipment and facility needs in detail, including information regarding:

--the rationale for its purchase or rental in light of the project objectives

--whether or not the equipment or facilities can be made available on some basis other than rental or purchase.

All equipment purchased with Federal or State funds as part of a project is the property of the Commonwealth of Kentucky and may be removed from its location once the project is terminated.

K. Budget

This section of the proposal presents the project's activities in monetary terms. The budget should be prepared for the duration of the project. Funds can be expended only on a yearly basis; therefore, the submitted proposal should detail the budget per line item expenses. Moreover, the continuation effort (2nd-3rd year) should have an estimated budget.

Budget

The budget page should be a duplicate of the budget form in Appendix C with the "Anticipated Expenditures" being identified by line item number and line item description. Once the various project activities are identified, they should be totaled per line item and shown in the "Total Amount" column. The "Source of Funds" column should reflect the various funding sources (i.e., "local" contribution, Part D-Exemplary; Part C-Research, ARC, etc.). Applicants are encouraged to identify a cooperatively funded project.

Budgets will be negotiated by the applicant and the funding agency subject to recommendations by review committees and in consultation with the project director. The approved budget cannot be changed unless written approval is secured from the Bureau of Vocational Education project monitor. Line item changes reflect changes in the project activities, and the changes in the approved activities should be minimal. To facilitate the review process the applicant should provide a Budget Justification page which gives a brief explanation of each of the line items.

PART IV

Procedures for Review and Funding

Submission

A. Submission Details

Proposals should be double spaced and typewritten on one side of standard (8½ x 11) paper, stapled at the left margin. Do not bind or enclose in folders.

Address

The address label should read:

Director, Supporting Services Division
Bureau of Vocational Education
State Department of Education
Capital Plaza Tower
Frankfort, Kentucky 40601

Number of Copies

Send seven (7) copies of the proposal, two (2) with original signatures.

B. Review Committee

All proposals submitted to the Bureau of Vocational Education will be reviewed by a committee made up of individuals from within the Bureau and other appropriate individuals outside the Bureau, and in some instances, outside the State Department of Education as deemed necessary.

This committee will make recommendations to the Assistant State Superintendent of Public Instruction for Vocational Education concerning the disposition of the proposal.

C. Procedures for Funding

The submission of a completed proposal, which meets the requirements of the proposal document format outlined in this

handbook, constitutes formal application for support of projects in vocational education.

The Assistant State Superintendent of Public Instruction for Vocational Education shall have final approval on all proposals for which vocational education funds are requested. This decision may be based on recommendations made by the staff in the Bureau of Vocational Education and appropriate advisory committees.

It is the goal of this process to notify the applicant of approval, disapproval, deferral, or need for modification of his/her proposal within thirty (30) days after date of submission. Deferral or disapproval of a proposal will not preclude its reconsideration or resubmission at a later time or to another agency.

D. Criteria for Evaluating Proposals

The following criteria are intended to provide the prospective proposal writer a guide for developing proposals which will make a significant contribution to vocational education. The criteria are listed so the proposal writer will know the standards upon which his/her proposal will be evaluated:

		Maximum Assessment Rating
1.	Rationale for Proposal: Does the rationale provide an adequate background/statement of the problem, and adequate review of pertinent literature, and its potential contribution to education?	5 pts
2.	Objectives: Are the objectives specific, measurable, concrete, achievable, and relevant?	20 pts

		Maximum Assessment Rating
3.	Methodology and Design: How adequate is the organizational design or plan developed; including the setting and the participants?	20 pts
4.	Project Management: Does the proposal adequately develop the management plan, time schedule, and accounting system?	20 pts
5.	Dissemination Plan: Does the proposal present an adequate dissemination plan: operational/terminal?	10 pts
6.	Evaluation Plan: Does the evaluation relate to the objectives, the processes, and the products?	10 pts
7.	Personnel: Do the personnel involved possess the experience/qualification desired?	5 pts
8.	Facilities and Equipment: Does the proposal adequately identify and justify special facilities or equipment?	5 pts
9.	Budget: Does the budget adequately present and justify expenditures for the proposed objectives and outcomes?	5 pts
	TOTAL	100 pts

PART V

Requirements for Project Recipients

A. Contractual Arrangements

The Assistant State Superintendent of Public Instruction for Vocational Education shall issue contracts for the projects which are approved for financial support from vocational education funds. Acceptance of a grant or award constitutes the acceptance of the appropriate stipulations stated in the Kentucky State Plan for the Administration of Vocational Education and Federal Vocational Education Acts.

Transfer of funds between line items in the budget is not allowable without written approval by the project monitor. Adjustments and/or modifications are subject to review by staff members of the Bureau and to approval by the Assistant State Superintendent of Public Instruction for Vocational Education.

If a project is to be continued into a subsequent fiscal year, it is necessary that a new contract be negotiated before second year funds can be spent. **The initial contract will contain only such funds for budget items which are to be expended during the current fiscal year.** The proposal, however, should include the anticipated budget for the project if it will seek continuation.

The contractual agreement also calls for the recipient of the contract award to submit a final report at the termination of the project. This report must be received by the Bureau prior to the approval of fourth quarter reimbursement. In addition, progress reports shall be submitted to enable the Bureau of Vocational Education staff to monitor the progress of the projects being funded and to assist in project completion. In an effort to measure the long-range impact of a project the institution may be asked to assist or cooperate in the measurement of the impact of the project at a future date.

B. Progress Assessment

A member of the Bureau of Vocational Education will be assigned to each funded project as project monitor. The project monitor will maintain liaison between the applicant organization and the Bureau of Vocational Education. The project monitor will be responsible for assisting the contracting agent in utilizing the services of the Bureau of Vocational Education to enhance the funded project.

To keep projects dynamic and flexible, continuous assessment of the projects must be incorporated into the design. Project directors are responsible for the continuous assessment of their projects. **Changes must be made in consultation with the project monitor.**

Staff members of the Bureau of Vocational Education will be available to assist in the assessment and evaluation of the projects. They can aid in monitoring the project and can provide technical assistance and guidance to the project director. Their chief function during the operation of the project is to assist in assessing and improving the project.

C. Appended Items

1. Letter of Assurance

   A letter of assurance indicating the degree of commitment of the applicant organization to the concepts presented in the proposal.

2. Instruments

   If you plan to use an unvalidated instrument (e.g., a questionnaire or interview guide) in the study, the proposal document should include a copy of the instruments to be used.

If the instrument remains to be developed, a page of sample items and an outline of the complete instrument should be submitted.

3. Agreement with Cooperative Agencies

Where agreements with school districts or other cooperating agencies are a factor, copies should be appended.

4. Statement of Nondiscrimination

Each proposal submitted should have, printed prominently somewhere within, the following statement:

> DISCRIMINATION PROHIBITED—Title VI of the Civil Rights Act of 1964 states: "No person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subject to discrimination under any program or activity receiving Federal financial assistance." Therefore, the vocational education research, exemplary and dissemination program of the Commonwealth of Kentucky, like every program or activity receiving financial assistance from the Department of Health, Education and Welfare, must be operated in compliance with this law.

5. Other Information

Provide a brief statement about each of the following:

a. If the proposal is an extension of, or addition to, a previous or current project supported by the Bureau of Vocational Education, give the date of funding and the project director of the related support instrument.

b. Any other pertinent information.

PART VI

The Project Progress Report

PREPARING THE PROGRESS REPORT

As the name implies, the Progress Report communicates the progress being made by the project over a period of time: usually every three (3) months. The main content of the Progress Report should reflect the major activities, accomplishments, and events that relate to the achievement of proposed goals and objectives for that particular time period.

The Progress Report should begin with the progress report Cover Page (example given in Appendix A) and contain the following subdivisions:

A. A description of the major activities, accomplishments, findings, and events during the reporting period. In doing this the project director should orient the reader to the identified problem, methods, resuits, conclusions, and recommendations for that particular time period.

B. A summarization of the dissemination activities. The activities within a project program are transmitted through dissemination activities. Earlier discussion (Part III) in this document more fully develops the dissemination plan. All dissemination activities during this time period should be reported.

C. Describe any data and information gathering activities. The basis for research and development activities is to apply or demonstrate potential ideas for possible program development to document such an effort requires a systematic program of data collection. This involves an approved application of the appropriate forms and techniques which will result in the gathering of the desired data. The development and presentation of this information in the Progress Report should include:

1. forms for collecting data
2. types of groups (experimental/controlled)
3. methods of analysis
4. design or procedure, and
5. significant findings and interpretations.

D. Describe any departures from the original plan. While the approved proposal of planned activities are clearly identified and agreed upon by participating agencies, there may develop unexpected events or problems throughout the progress of the project. Therefore, the reporting system should include these unexpected events. Examples might include:

1. Time—a major event affected by an unanticipated event.
2. Activity—a revision in a major event created by a shortage of resource.
3. Personnel change—an unanticipated staff exchange or personnel reassignment.

E. Report any acquisition of capital equipment. With the implementation of research and development activities, the program administration may require certain equipment. The Progress Report should list any equipment acquired during the report period.

F. Describe any future activities which are planned for the next reporting period. Although a Progress Report presents the events for a particular time period (quarterly), there is

a need to develop a bridge between one quarter and the next. Therefore, the report should give a brief description of planned activities.

The general submission requirements for the Progress Report calls for two (2) copies to be sent to the project monitor at the end of the report period. Details regarding financial reporting should be arranged with the project monitor.

PART VII

The Project
Final Report

A. Preparing the Final Report

The reporting system for research and development programs requires the documentation of project activities and experiences. These reports have various functions: (1) they serve to disseminate new educational discoveries and techniques; (2) they describe the research and development activities and materials produced; (3) they give an account of results and an evaluation of the process and product; and (4) they are a requirement for final payment and serve as a means of evaluating the project results in light of the proposed project goals and objectives.

The Final Report much like the Progress Report should describe the research and development activities, the materials produced, give an account of results, and an evaluation of the finished project. The difference of course, is the reporting period: the Progress Report is quarterly while the Final Report covers the major events and activities over the duration of the project. One (1) copy of the Final Report is required and should be sent to the project monitor.

The Final Report communicates the results of the research and development efforts and, as a monitoring function, assists in the determination of the fulfillment of the proposed contract or grant. Moreover, an approved Final Report is required before final payment is transmitted. While the responsibility for content rests with the project director or investigator, the participating agencies should work cooperatively in its development to prevent problems which might normally arise. An informal submission of a draft of the Final Report for review by the project monitor is a recommended procedure. Releases to the press must not be made until the report has been accepted.

As the report may be widely disseminated, this fact should be considered in the planning and preparation of the report. The form of disseminating the report may include intra/inter-state and press releases, other mass media, and special publications.

Because of the wide distribution of these reports, the Bureau of Vocational Education assumes responsibility for the printing of copies of this document. The final report should be presented in "camera-ready" form; i.e., a clean and correct manuscript which is ready for printing. Since the Bureau will be printing these reports as submitted, reports must be clearly typed, be free of typographical errors, and be presented in a quality form. The project director should contact the Resources Development Unit Director if there are any questions regarding the "camera-ready" requirements.

Many times the dissemination characteristics of a project product may be improved by the copyrighting of the materials. The project director should work closely with the Coordinator of Dissemination in the Bureau to determine the usefulness of copyrighting project produced materials. **All materials produced in whole or in part as an outcome of a project funded through the Bureau of Vocational Education, are the property of the Kentucky Department of Education** (see Appendix D).

B. Writing the Final Report

Well-written reports enhance the value of good research and development. Therefore, the highest professional standards of good writing should be maintained throughout. The bibliographical style should be consistent throughout all of the project reports and proposals.

C. Preliminary Pages

COVER SHEET – (example in Appendix A)

The Cover Sheet will provide immediate information on the type of report, and other related information, including the required "disclaimer statement" shown in Appendix A.

CONTENTS PAGE –

A separate page showing the major sections of the report. All titles of parts or sections used in the report: Abstract; Introductory; Activities and Accomplishments (the identified problem, methods, results, conclusions, and recommendations); Dissemination Activities; Fiscal Accounting; Supplemental and Appendix Materials.

PREFACE OR ACKNOWLEDGEMENTS –

Many investigators (authors) may wish to prepare a simple preface concerning the field investigated or the major problems involved. Significant professional contributions of individuals or groups with their proper identification should be acknowledged. However, Government personnel connected with the project and the names of nonprofessional and clerical workers are usually not mentioned.

STATEMENT ON NONDISCRIMINATION –

As in the proposal, the Final Report should carry the Federal Statement of Nondiscrimination. This statement should be printed somewhere in the Final Report (usually after the cover sheet or following the last report page) and should be in the form presented in Appendix D, "Agreement of Nondiscrimination."

D. Abstract

A one (1) page Abstract of the project shall be included in all Final Reports. The following information shall be included:

a. Title of Project

b. Project Duration

c. Objectives (state briefly the objectives of the project)

d. Procedure (give a brief description of the overall design or plan of the project)

e. Contribution to Education (indicate briefly how the proposed project contributed to the improvement of the quality and quantity of Vocational Education, and its implications for developing new programs, services and/or activities).

f. Products developed by the project (if any).

E. Introduction

Most reports need a general introductory section to orient the reader to the research and/or developmental activity. The purpose of this section is to tell the reader what the report is about. Also, this section should briefly review and analyze related research or developmental efforts, and describe the scope of the project.

F. Activities and Accomplishments

This section should relate the specific problem under consideration, the methods, results, conclusions, and recommendations. Much of the value of a research/development report depends on how this section is organized and presented and how carefully the findings are described. For the more comprehensive reports, results and findings may be presented in several sections or subsections each with descriptive titles.

1. Problem Under Consideration:

The writer should present clearly the project intent, the project objectives, and explain the limitations of the effort.

2. Methods:

This section should tell how the research or developmental effort was carried out. It may describe experimental and control groups, validation procedures, preparation of forms for collecting data, methods of analysis, and the evaluation of special materials or equipment. Any significant information that might assist the reader to understand the research design or procedure should be included. Any information which would aid in the replication of this study at a later date should be included.

Many methodological details can be reserved for the appendices, including details of how materials or equipment were developed or data collected, and facsimiles of instruments, such as scales, tests, and inventories. There should be a reference in the text for each separate entry in the appendix.

3. Results:

The findings and analysis of the completed efforts should be developed in this section. This is the heart of any research or developmental effort.

4. Conciusions:

This section is needed to complete a research or development report. In simple language, it should highlight what was or was not accomplished in the report.

5. Recommendations:

Recommendations should be written clearly and should reveal the possible utilization of the results either in educational practice or further research and development. Some authors may wish to suggest certain implications that could relate to new educational developments or innovations.

G. Dissemination Activities

Throughout the research and development effort, and especially at the conclusion of the project, the transportability of reports, materials, and research products, becomes critical to those who have an interest in the project's area of research and process. The dissemination plan presented in the project proposal should be carefully refined at the beginning of the final quarter of the project and be developed in cooperation with Bureau of Vocational Education personnel.

No project can be considered a success if no attempt is made to present its products to all possible consumers forcing its innovations to go unused.

H. Supplemental and Appendix Materials

1. References and Bibliography—List documents cited in the text under References. Arrange bibliographic entries not cited in the text but furnished as supplementary information under Bibliography. Present entries in the reference list and bibliography in a uniform style which includes authors, titles, sources, identifying numbers, and dates.

2. Glossary—A glossary may be included when terms used might be unfamiliar to most readers or when definitions in the body of the report are not considered appropriate.

3. Appendices—Appendices can be used for detailed information that the reader may prefer to study separately. References throughout the text should guide the reader to the appendices. The following is a suggestive list of materials that could be placed in appendices:

   Calculation samples

   Course outlines or units

   Descriptions of rejected research methods

Comparison of results with previous findings

Development of new conceptual program models suggested by the results

Facsimiles of forms or questionnaires

Methodological details

Long or detailed equations

Extensive tables or charts for which a summary is given in the text, or illustrated materials not used in the text

Tables of symbols

Test, measurement, or inventory samples

I. Copyrighted Materials

Consideration should be given to the use of documents in the report. Personal documents should not be used unless prior approval has been secured, and copyrighted materials should not appear without written permission. These materials should be identified in the following manner:

Reprinted from_____
(title of copyrighted work)

by_____
(name of author)

by permission of_____
(name of copyright owner)

copyrighted_____
(date)

Organization

Individuals responsible for the development of reports should maintain high professional standards of good writing and be consistent in format and content.

J. Organizing the Final Report

With the previous topics in mind, and with proper documentation of experiences and activities that develop, the Final Report can be organized as follows:

1. Title Page (example in Appendix C)
2. Contents Page (the sub-headings of the report)
3. Preface or Acknowledgements
4. Abstract
5. Introduction
6. Activities and Accomplishments
    a. Problem Under Consideration
    b. Methods
    c. Results
    d. Conclusions/Recommendations
7. Dissemination Activities
8. Supplemental and Appendix Materials

K. Final Report Technical Specifications

Paper—Paper stock for the text should be 8½" x 11", 16 to 20 lb., white bond or similar stock.

Typing—All copies of the report should be either the typed original or clear reproductions of the original. Carbon or ditto copies

are not acceptable. This is to insure legibility if the report should be reduced to microfilm or subsequent reproductions are made. The typing should be in either pica or elite size in black ink. Use single spacing except where double spacing may be necessary for some equations or to separate quoted materials from the text, or where double spacing is needed to conform with institutional requirements for a doctoral dissertation. **Paragraphs should be separated with double spaces.** Typed material on a page should be contained within an area no larger that 6" by 9" centered top and bottom. The left margin should be 1½" to allow for binding; all other margins should be at least 1".

Pagination—Wherever practicable, number all pages throughout a report consecutively at the bottom with Arabic numerals. When a report is divided into several volumes, each volume should be numbered separately beginning with page 1.

Binding—The final report submitted to the project monitor should be left unbound.

Tabular Presentation—Any table, chart, or graphic presentation should be given a number and a suitable title and placed as near as practicable to the first reference made to it. These may be placed broadside on the page, if necessary. While foldouts should be avoided they may be necessary under certain conditions. However, the project monitor should be consulted before foldouts are used because of the difficulties of subsequent reproduction.

Pictures or Illustrations—All illustrative materials should carry terse, informative captions. The project monitor should be consulted before colored illustrations are used because of the difficulties of subsequent reproduction in black and white copy.

APPENDIX A

Sample Cover Pages

PROPOSAL COVER PAGE

PROPOSAL FOR A PROJECT SUBMITTED
TO THE BUREAU OF VOCATIONAL EDUCATION
KENTUCKY STATE DEPARTMENT OF EDUCATION

TITLE OF PROJECT: (Be descriptive)

APPLICANT ORGANIZATION: (Name and address of college or university, school district, or other unit.)

INITIATED BY: _____ (Signature)
(Full name of person responsible for developing the proposal; position; telephone area code, number, and extension.)

PROJECT DIRECTOR: _____ (Signature)
(Full name of person in charge of the program; position; telephone area code, number, extension.)

TRANSMITTED BY: _____ (Signature)
(Full name and position of person committing the applicant organization to the program (supt. of schools, etc.); telephone area code, number, extension.)

DURATION OF PROJECT: (Proposed beginning and ending dates)

TOTAL FUNDS REQUESTED: $_____ for first year
$_____ for duration of project

NEW REVISED CONTINUATION
(CHECK ONE ONLY)

DO NOT WRITE BELOW THIS LINE

TOTAL FUNDS APPROVED _____ DATE _____

FUNDING APPROVED BY: _____
Asst. Supt. of Public Instruction

PROJECT NUMBER: 50 _____ _____
PROJECT MONITOR: _____

SAMPLE COVER SHEET
FOR PROGRESS REPORT

PROGRESS REPORT

PROJECT NUMBER: _____

TITLE OF PROJECT: _____

_____

_____

PROJECT DIRECTOR: _____ (Name and Title)

_____ (Address and Phone Number)9

_____

_____

AGENCY OR INSTITUTION: _____ (Name)

_____ (Address)

_____

REPORT FOR THE PERIOD OF _____ to _____

Date Submitted: _____

The statements or contents of this report do not necessarily reflect the views or policies of the Bureau of Vocational Education, State Department of Education, Commonwealth of Kentucky

SAMPLE COVER SHEET
FOR FINAL REPORTS

FINAL REPORT

EFFECTS OF A PROGRAM OF VOCATIONAL GUIDANCE AND PLACEMENT IN KENTUCKY

by

B. J. Doe
Project Director

November, 1975
College of Education
State University
Smithtown, Kentucky
40851

Project Number V28810-02

The Research reported herein was performed pursuant to a contract with the Commonwealth of Kentucky, State Department of Education, Bureau of Vocational Education. Contractors undertaking projects under such sponsorship are encouraged to express freely their professional judgment in the conduct of the project. Points of view or opinions stated do not, therefore, necessarily represent official State Department of Education position or policy.

COMMONWEALTH OF KENTUCKY
STATE DEPARTMENT OF EDUCATION
BUREAU OF VOCATIONAL EDUCATION

Appendix B

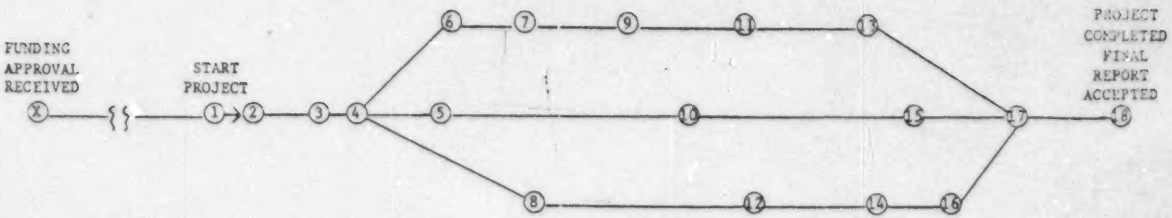
Work Flow Charts

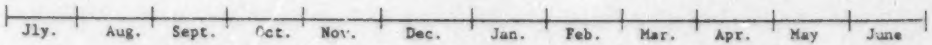
The following examples indicate some possible formats for project activity time charts.

Whether or not one uses one of these example formats is unimportant. What is important is that the proposal demonstrate work flow management techniques and that these be developed and included in all of the project planning activities.

The project personnel need to manage all of the resources they have on hand in order to complete the project successfully. One of the project's most important resources is time.

ACTIVITY TIME CHART



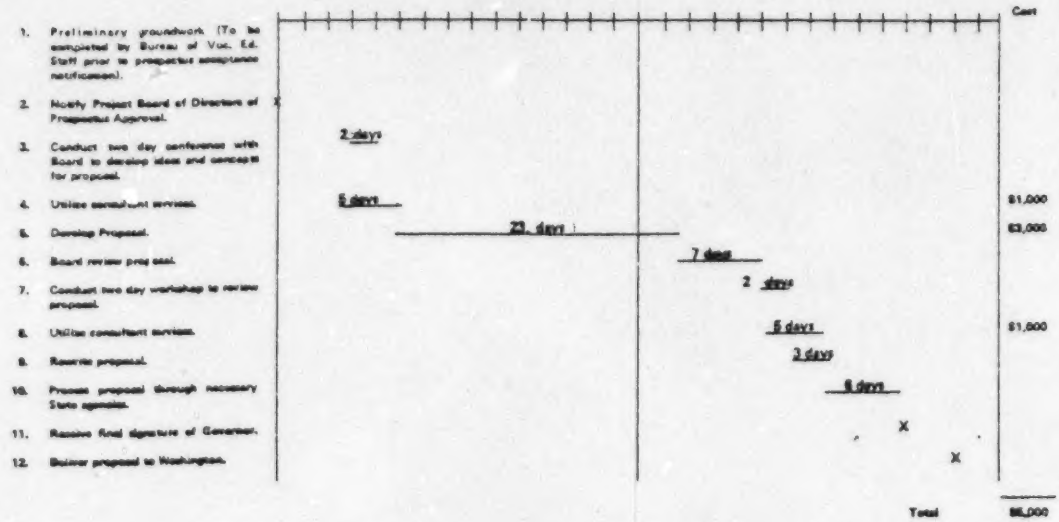


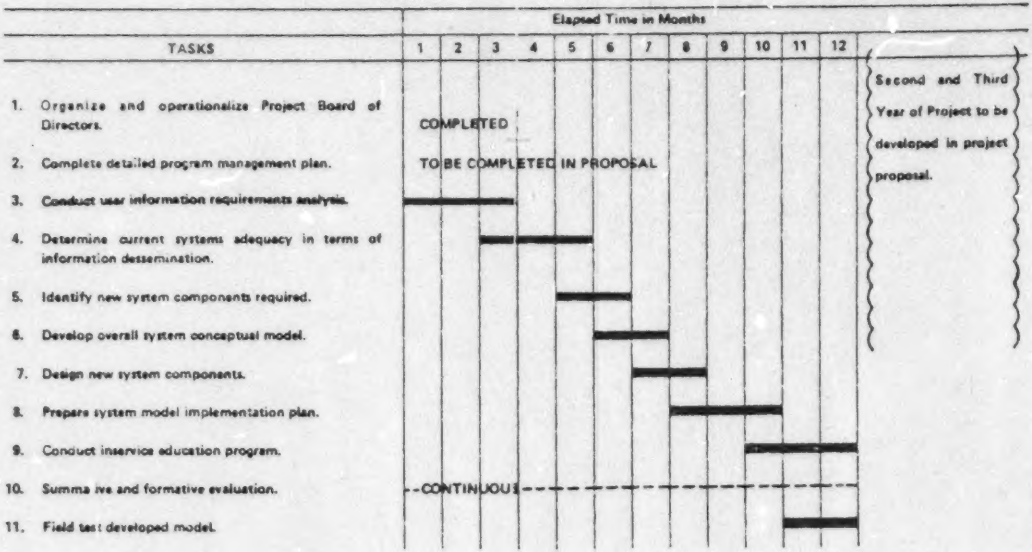
ACTIVITIES

1. Start project and move Ms. _____ to full time directorship of project.
2. Hire secretary.
3. Order test instruments.
4.
5.

(Note: The above is a simplified chart as most projects will have more than 18 activities to be depicted. In this case, the first four activities may relate to the employment of staff and planning. Activities 6, 7, 9, 11 and 13 may relate to conferences, workshops, etc. Activities 5, 10, 15, and 17 may relate to the submission of progress and final reports while activities 8, 12, 14, and 16 may relate to dissemination.)

PROPOSAL DEVELOPMENT BUDGET
AND
TIME CHART
(60 days)




Elapsed Time in Months
TASKS
1 2 3 4 5 6 7 8 9 10 11 12
1. Organize and operationalize Project Board of Directors.
COMPLETED
2. Complete detailed program management plan.
TO BE COMPLETED IN PROPOSAL
3. Conduct user information requirements analysis.
4. Determine current systems adequacy in terms of information dessemination.
5. Identify new system components required.
6. Develop overall system conceptual model.
7. Design new system components.
8. Prepare system model implementation plan.
9. Conduct inservice education program.
10. Summative and formative evaluation.
CONTINUOUS
11. Field test developed model.
Second and Third Year of Project to be developed in project proposal.

APPENDIX C

Budget Form

PROJECT BUDGET

Project Title: _____

_____

ANTICIPATED EXPENDITURES	TOTAL AMOUNT	SOURCE OF FUNDS		
101 Payroll Salaries				
104 Contracted Prof. Services				
109 Occasional Labor				
TOTAL PERSONAL SERVICES				
301 Postage, Freight and Express				
302 Telephone and Telegraph				
304 Travel - (In-State)				
305 Printing and Advertising				
307 Maint. of Vehicles and Equip.				
315 Out-of-State Travel Expenses				
319 Data Processing Supplies				
321 Office Supplies				
330 Commercial Supplies				
334 Classroom Supplies				
340 Office Equip. - Unit Cost Under $300.				
342 Instructional Equip. - Under $300.				
351 Rental of Building				
352 Rental of Equipment				
371 Subscriptions - (Non-Library)				
372 Miscellaneous				
390 Computer Rental				
TOTAL CURRENT OPERATING EXPENSES				
601 Office Equip. - Unit Cost Over $300.				
604 Instructional - Unit Cost Over $300.				
607 Books for Institutions & Libraries				
609 Other Capital Outlay				
TOTAL CAPITAL OUTLAY				
TOTAL ANTICIPATED EXPENDITURES				

APPENDIX D

Assignment of Rights, Agreement of Evaluation and Records Maintenance, and Agreement of Nondiscrimination

NOTICE OF ASSIGNMENT OF RIGHTS

By the submission of a research, exemplary or dissemination project proposal to the Bureau of Vocational Education, those submitting the proposal should understand that they agree:

- that all project records, data, plans, suggestions and recommendations developed during the course of this project are the sole property of the Kentucky Department of Education.

- that all materials, records, correspondence, and so forth, which have been prepared, developed or instigated (in whole or in part) as part of the project, or as a portion of the project, are the property of the Kentucky Department of Education.

- that the project staff may not enter into any agreement of a judiciary nature with the sole purpose of reproducing or copyrighting materials developed as a result of the project without the written permission of the Kentucky Department of Education.

AGREEMENT OF EVALUATION

By the submission of a research, exemplary, or dissemination project proposal to the Bureau of Vocational Education, those submitting the proposal should understand that they agree to assist and cooperate with the Bureau of Vocational Education in the measurement of the impact of the project or program at some future date after the termination of the program.

AGREEMENT OF RECORDS MAINTENANCE

By the submission of a research, exemplary or dissemination project proposal to the Bureau of Vocational Education, those submitting the proposal should understand that project files, documents, materials, records and correspondence must be kept available for a period of at least five years and may be expanded at the discretion of the Bureau of Vocational Education with the agreement of the project director.

AGREEMENT OF NONDISCRIMINATION

Title VI of the Civil Rights Act of 1964 states that no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subject to discrimination under any program or activity receiving Federal financial assistance. Therefore, the vocational education research, exemplary and dissemination program of the Commonwealth of Kentucky, like every program or activity receiving financial assistance from the Department of Health, Education and Welfare, must be operated in compliance with this law.